

MONTH END ACTIVITY REPORT

Bureau of Securities November 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	118	345	463
Oversales	8	5	13
Renewal Filings	436	1001	1437
New Notice Filings	185	85	270
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	1	0	1
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	6	0	6
Applications Withdrawn/Abandoned	2	0	2
Applications Denied	0	0	0
Terminations	13	0	13
Gain/Loss Broker-Dealers	-9	0	-9
Total BD's Registered as of November 30, 2010	1406	29	1435
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	2117	0	2117
Denied	0	0	0
Terminations	1393	0	1393
Gain/Loss Agents	724	0	724
Total BD Agents Registered as of November 30, 2010	79192	55	79247

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	1	7	8
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Denied	0	0	0
Gain/Loss effective registrations	0	3	3
Total IA's Registered as of November 30, 2010	72	1075	1147
Investment Adviser Representatives			
Activity	State	Federal	Total
New	2	38	40
Denied	0	0	0
Terminated	3	57	60
Gain/Loss effective registrations	-1	-19	-20
Total IAR's Registered as of November 30, 2010	121	3148	3269

Exemptions			
Exemption Type	Number		
8-1108.02(2)	23		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	9		
8-1111(11)(a)	1		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of November 30, 2010	33		